

DATA SUBMITTER REFERENCE GUIDE VERSION 1.0 NOVEMBER 23, 2016

1 S PINCKNEY STREET
MADISON, WI 53703

TECHNICAL SUPPORT: 608-250-4606

PDMPSupport@egov.com

Table of Contents

3
4
5
6
9
11
11
11
13
15
17
19
21
22

Document Change Log

Date	Version Number	Details
11/23/2016	1.0	Document Released

Introduction

This document is intended to provide the necessary details about how pharmacies, submitters on behalf of pharmacies, such as pharmacy software vendors, and dispensing practitioners submit data to and interact with the new Wisconsin Enhanced Prescription Drug Monitoring Program (WI ePDMP). This document explains the following:

- How to register for the WI ePDMP
- How to submit data to the WI ePDMP
- How to correct data already submitted to the WI ePDMP
- How to monitor your compliance with the law requiring submissions to the WI ePDMP

While every attempt has been made to ensure this document is complete and accurate, the laws that regulate the WI ePDMP and create the responsibilities will always take precedent should there be an inconsistency between this document and law. See Wisconsin Statute § 961.385 and Wisconsin Administrative Code Chapter CSB 4 for more information about the requirements.

Wisconsin Enhanced Prescription Drug Monitoring Program

The Wisconsin Enhanced Prescription Drug Monitoring Program (WI ePDMP) is a free web-based tool to help combat the ongoing prescription drug abuse epidemic in Wisconsin. It replaces the previous PDMP system that the State of Wisconsin deployed in June 2013. The biggest differences between the systems for submitters are:

- There are now two types of accounts for submitting data for pharmacies: one for a SUBMITTER ON BEHALF OF PHARMACY and one for a PHARMACY itself. Each individual Pharmacy location should register for a PHARMACY account even if a corporate office or software vendor submits data on its behalf.
- Pharmacies are able to correct data via the web application even if the data was originally submitted by a SUBMITTER ON BEHALF OF THE PHARMACY.
- All data must be submitted electronically. The WI ePDMP does not accept data submitted to it on paper.

The WI ePDMP was designed and built based on extensive user feedback and input. It aids healthcare professionals in their prescribing and dispensing decisions by providing valuable information about controlled substance prescriptions that are dispensed in the state. The data submitted to the WI ePDMP is standardized and cleansed and made available to authorized users, such as prescribers, pharmacists, regulatory boards, and law enforcement agencies. The WI ePDMP also fosters the ability of pharmacies, healthcare professionals, law enforcement agencies, and public health officials to work together to reduce the misuse, abuse, and diversion of prescribed controlled substance drugs.

The WI ePDMP operates in accordance with Wis. Stat. § 961.385 and Wis. Admin. Code Chapter CSB 4. The Department of Safety and Professional Services (Department) oversees the operation of the WI ePDMP in accordance with the policies established by the Controlled Substances Board (Board). Visit https://pdmp.wi.gov for more information on the laws and regulations governing the WI ePDMP.

Reporting Requirements

By law, "dispensers" are required to submit to the WI ePDMP data about controlled substance prescriptions that they dispense, including most starter packs and samples, within 7 days¹ of dispensing the monitored prescription drug in Wisconsin or to a patient located in Wisconsin, unless one of these exceptions applies:

- The monitored prescription drug is administered directly to a patient.
- The monitored prescription drug is compounded, packaged, or labeled in preparation for delivery but is not delivered.
- The prescription order is for a monitored prescription drug that is a substance listed in State Controlled Substances Schedule V and is not a narcotic drug, and the prescription order is for a number of doses that is intended to last the patient 7 days or less.

Dispensers are defined as:

- Pharmacies from which a pharmacist dispenses a monitored prescription drug, including authorized remote dispensing sites.
 - Pharmacies that do not dispense monitored prescription drugs may apply for an exemption to the data submission requirements using this <u>application</u>.
- Practitioners, such as physicians, physician assistants, dentists, advanced practice nurse prescribers, and others, who dispense a monitored prescription drug.

Monitored Prescription Drugs are:

- State Controlled Substances in Schedule II, III, IV, or V that require a prescription order to be lawfully dispensed.
- Federally Controlled Substances in Schedule II, III, IV, or V that require a prescription order to be lawfully dispensed.

¹ Beginning on April 1, 2017, dispensers will be required to submit data to the WI ePDMP by 11:59 PM of the business day following the day on which the monitored prescription drug was dispensed.

Dispense means:

 To deliver a monitored prescription drug pursuant to the lawful prescription order of a practitioner, including the compounding, packaging, or labeling necessary to prepare the monitored prescription drug for delivery.

By law, dispensers must submit all of the following data² to the WI ePDMP:

- The dispenser's full name.
- The dispenser DEA number.
- The date dispensed.
- The prescription number.
- The NDC number of the monitored prescription drug.
- The quantity dispensed.
- The estimated number of days of drug therapy.
- The classification code for payment type.
- The number of refills authorized by the prescriber.
- The refill number of the prescription.
- The practitioner's full name.
- The practitioner DEA number.
- The date prescribed.
- The patient's full name or if the patient is an animal, the animal's name and the owner's last name.
- The patient's address, or if the patient is an animal, patient's owner's address, including street address, city, state, and ZIP code.
- The patient's date of birth, or if the patient is an animal, patient's owner's date of birth.
- The patient's gender.

Dispensers must submit data to the WI ePDMP electronically, either using the data standard detailed in ASAP 4.2 Specifications in this document or via the <u>WI ePDMP website</u>. The WI ePDMP does not accept any data submitted on paper.

² Beginning on April 7, 2017, dispensers will have to submit the name of the person to whom a monitored prescription was dispensed or delivered pursuant to 2013 Act 199.

If a dispenser becomes aware of omissions or inaccuracies in previously submitted data, the dispenser shall submit correct information within 7 days.

The Wisconsin Interactive Network, LLC (WIN) acts on behalf of the State of Wisconsin Department of Safety and Professional Services to operate and provide technical support for the WI ePDMP. Contact WIN for technical assistance with submitting or correcting data:

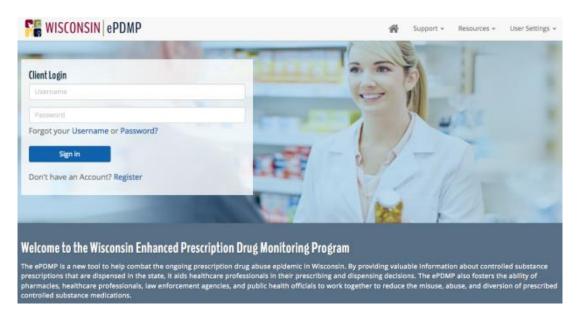
Email Assistance: PDMPSupport@egov.com

Phone Assistance: 608-250-4606

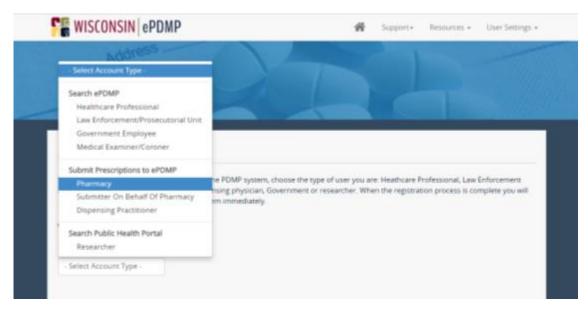
Data Submitter Registration

The first step to being able to submit data to the WI ePDMP is to register for an account. To register, navigate to the WI ePDMP at: https://pdmp.wi.gov and follow these steps:

1. Click on "Register."



2. Select the type of account you wish to create from the drop-down list. There are three account types that are able to submit data to the WI ePDMP:



- a. PHARMACY. All non-exempt WI-licensed pharmacies, even if a software vendor or corporate office submits data on the pharmacy's behalf, should register for an account using the pharmacy's Wisconsin License Number. With a PHARMACY account, the managing pharmacist can take control of the data submitted by or on behalf of the individual pharmacy location. With a PHARMACY account, the managing pharmacist can submit data, monitor uploads for the pharmacy, correct errors in data attributed to the pharmacy location, and submit zero reports on behalf of the pharmacy.
- b. SUBMITTER ON BEHALF OF PHARMACY. Entities such as pharmacy software vendors, corporate pharmacy chains, and others who intend to submit data on behalf of multiple pharmacy locations must register as a SUBMITTER ON BEHALF OF PHARMACY. With a SUBMITTER ON BEHALF OF PHARMACY account, the user can submit data, monitor uploads for the all of the pharmacies for which it submits data, submit zero report files, and correct errors in data attributed to any pharmacy for which it submits data. Users cannot manually submit zero reports on behalf of a pharmacy via the WI ePDMP website.
- c. **DISPENSING PRACTITIONER**. Non-pharmacy dispensers should register as a **DISPENSING PRACTITIONER** to submit data, monitor data submissions, correct data, and submit zero reports.
- 3. Complete and submit the application. The WI ePDMP will send you an email to confirm your registration. If any of the information obtained from the licensing file at the Department needs to be corrected, contact us at 608-266-2112.
- 4. Click on the link in the email and confirm your account information to activate your account.

Reporting Procedures and File Types

The WI ePDMP supports four submission methodologies to submit data and zero reports. They are:

- 1. ASAP 4.2-compliant Files Submitted via Secure File Transfer Protocol (SFTP)
- 2. ASAP 4.2-compliant Files Submitted via the Web Application
- 3. Manual Data Entry via the Web Application
- 4. Manual Zero Reporting via the Web Application

Creating an ASAP 4.2-Compliant File:

All files submitted to the WI ePDMP must include all of the data required by law and be compliant with the ASAP 4.2 format, as defined in this document. A **SUBMITTER ON BEHALF OF PHARMACY** may submit a file that contains data from multiple pharmacy locations.

Files must be uniquely named using the date and time of submission (YYYYMMDD) and a suffix of .DAT or .TXT. For example, a file created on December 1, 2016 should be named "20161201.dat" or "20161201.txt." This naming convention is required and will assist you with keeping accurate records and assist WIN with locating this information in a timely and efficient manner if there are issues.

Submitting an ASAP 4.2-Compliant File via SFTP (SSL over FTP):

Once the ASAP 4.2-Compliant file is ready to submit to the WI ePDMP,

- 1. Configure your SFTP software or your pharmacy software to point to the SFTP location. The location is: **SFTPPROD.WI.GOV**. NOTE: You cannot create a sub-folder in the upload folder.
- 2. The port is **8604**.
- 3. Your username and password to access the SFTP are the username and password you chose when registering for your WI ePDMP account.
 - a. If you forgot your username or password, you may obtain your username or reset your password on the <u>WI ePDMP website</u>.
- 4. Connect to the SFTP site and upload your file to the directory.
- 5. A **PHARMACY** will be notified of any errors that resulted from the upload via an email even if the data is submitted by a **SUBMITTER ON BEHALF OF**

- **PHARMACY**. A **SUBMITTER ON BEHALF OF PHARMACY** will not receive email notifications.
- 6. Both a **SUBMITTER ON BEHALF OF PHARMACY** and **PHARMACY** can login to the <u>WI ePDMP website</u> and view the file submissions and review errors that need to be corrected.

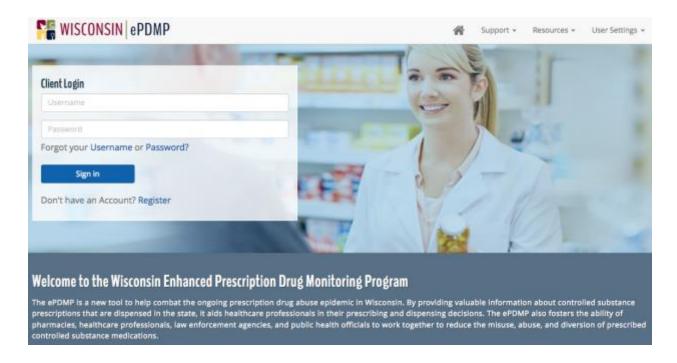
The WI ePDMP validates each file submitted, record by record, and will reject those records which do not meet the validation requirements. A record containing identified errors must be corrected within 7 days.

NOTE: Erroneous records are not loaded into the WI ePDMP until they are corrected.

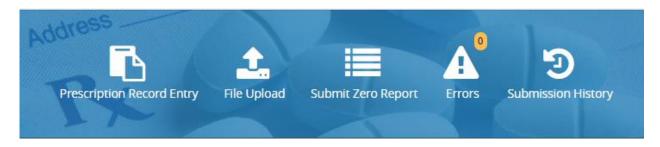
Dispensers that do not correct errors in a timely manner may be referred to the regulatory board that oversees their profession for investigation and disciplinary action. Pharmacies will be notified via email and will see an indication of the errors to be corrected on the WI ePDMP website.

Submitting an ASAP 4.2-Compliant File via the Web Application:

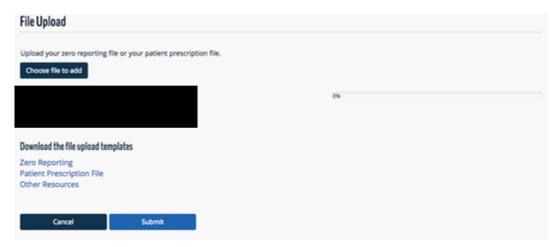
- 1. Navigate to: https://pdmp.wi.gov/.
- 2. Enter your Username and Password.
- 3. Click on Sign In.



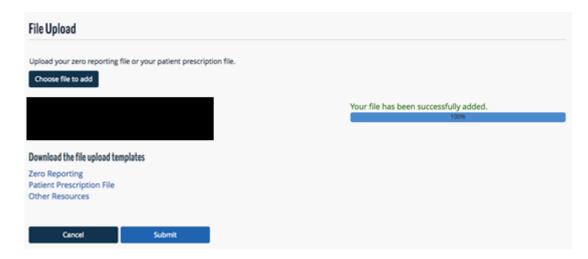
4. Click on File Upload.



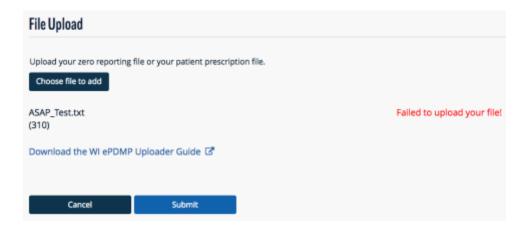
5. Click on Choose file to add and select your ASAP 4.2-compliant file to upload. If your file is in the correct format, you will see the name of the file and a progress bar that indicates 0% of the file has been uploaded.



- 6. Click Submit to upload your file.
 - a. If your upload is successful, you will see the message "Your file has been successfully added," and the progress bar will indicate 100% of the file has been uploaded.



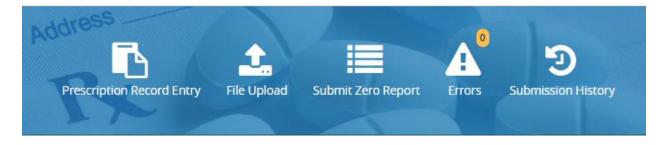
b. If your upload is not successful, you will see the message "Failed to upload your file."



Note your submission may not be processed immediately. In some cases, it can take up to 12 hours to process your file.

Manual Prescription Entry to the WI ePDMP:

- 1. Navigate to: https://pdmp.wi.gov/.
- 2. Enter your Username and Password.
- 3. Click on Sign In.
- 4. Click on the Prescription Record Entry icon.



- 5. Ensure that the information about the dispenser is accurate and enter all required prescription information.
 - a. If you are entering a prescription on behalf of a dispenser, check the box indicating so and enter the dispenser's DEA number.
 - b. Information about the dispenser and the prescriber will automatically fill in once you enter a DEA number. Please make sure that the information displayed matches the information on the prescription order.

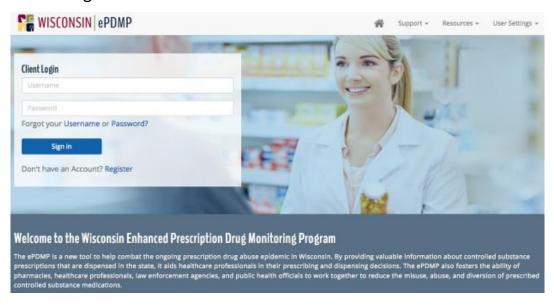
- c. The drug name and strength will automatically fill in once you enter an NDC number. Please make sure that the information displayed matches the information on the prescription order.
- 6. Click Submit.

Zero Reporting to the WI ePDMP:

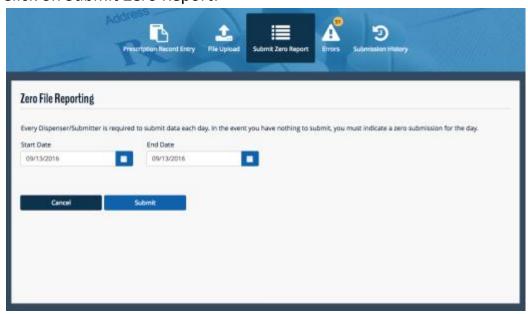
If a dispenser does not dispense a monitored prescription drug during a 7-day reporting period, the dispenser must submit a zero report. You may submit a zero report manually via the <u>WI ePDMP website</u> or through an ASAP-compliant zero reporting file.

Manual Zero Reporting:

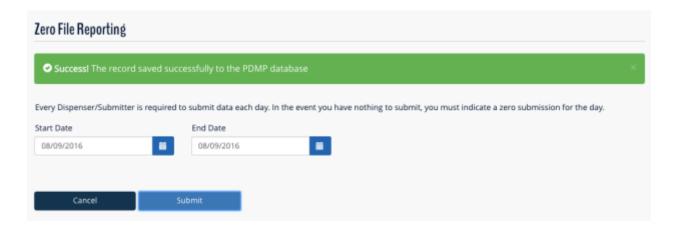
- 1. Enter you Username and Password.
- 2. Click on Sign In.



3. Click on Submit Zero Report.



- 4. Modify your Start and End Dates, if necessary.
- 5. Click Submit.
- 6. You will see a success message:



ASAP-Compliant Zero Reporting:

ASAP-Compliant zero reports may be submitted manually on the <u>WI ePDMP</u> website or via SFTP.

The Zero Report standard is a complete transaction and includes the field definitions required for submitting zero reporting data files. Transaction Headers and Trailer Segments are completed as they would be with a normal report.

The following fields within the files' Detail Segment must be populated as follows:

• ISO03 (Message): Date Range of Report (#CCYYMMDD# - #CCYYMMDD#)

PAT07 (First Name): "Report"PAT08 (Last Name): "Zero"

• DSP05 (Date Filled): Date of Submission (CCYYMMDD)

Error Correction

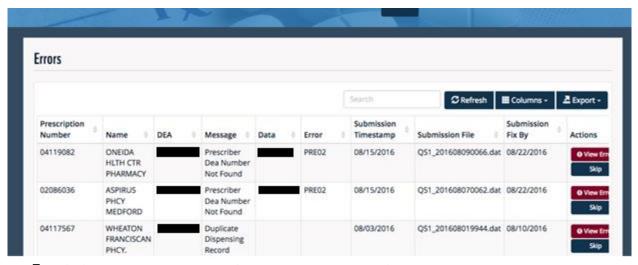
The dispenser is responsible for correcting all errors in data submitted to the WI ePDMP. Neither WIN nor the Wisconsin Department of Safety and Professional Services can delete, correct, or alter records in the WI ePDMP.

NOTE: Erroneous records are not loaded into the WI ePDMP until they are corrected.

All records with errors are queued for review by the **SUBMITTER ON BEHALF OF PHARMACY** that submitted the data and the **PHARMACY** to which the data is attributed. All pharmacies have the ability to correct errors in records attributed to their location even if the data was submitted by a **SUBMITTER ON BEHALF OF PHARMACY**.

Reviewing and Correcting Errors in the WI ePDMP:

- 1. Navigate to: https://pdmp.wi.gov/.
- 2. Enter you Username and Password.
- 3. Click on Sign In.
- 4. Click on the Errors icon.



- 5. Click View Error to see the errors in a record.
- 6. Correct the errors and click Submit.

Submitting a Revision ASAP 4.2-Compliant File:

Corrections can be made using ASAP 4.2-Compliant Revision or Void files. The file should only include the corrected records that correspond to the records identified as erroneous. Please be sure to send the Revice record **AFTER** you send the New record.

To indicate the file is to revise a record, field DSP01 must be "01."

The following fields must be the same as on the original reported data:

- DEA Number (PHA02)
- Prescription Number (DSP02)
- Date Filled (DSP05)

If one of the fields needed to submit a revise record needs to be corrected, the original record must be voided and a new record submitted.

Voiding Individual Records in the WI ePDMP:

If a prescription record in the WI ePDMP must be deleted, click on Prescription Record Entry. Fill in the information for the prescription that you wish to delete and select Void as the Reporting Status to delete the record.

Submitting a Void ASAP 4.2-Compliant File:

Data submitters can delete records previously submitted to the WI ePDMP using ASAP 4.2-Compliant Void files. The file should only include the records that the submitter wants to delete. Please be sure to send the Void record **AFTER** you send the New record.

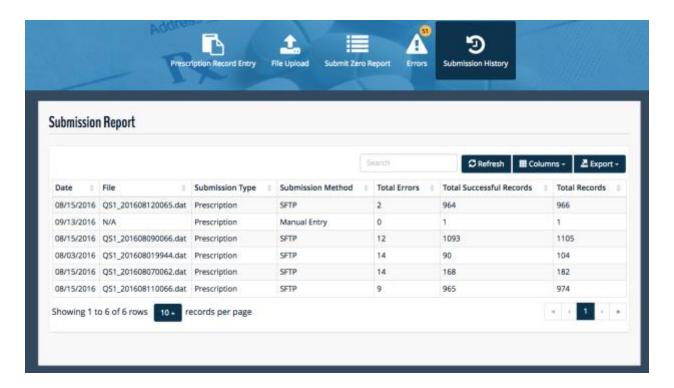
To indicate the file is to void a record, field DSP01 must be "02."

The following fields must be the same as on the original reported data:

- DEA Number (PHA02)
- Prescription Number (DSP02)
- Date Filled (DSP05)

Submission History

The WI ePDMP allows all **PHARMACIES**, **SUBMITTERS ON BEHALF OF PHARMACIES**, and **DISPENSING PRACTITIONERS** to login and view the status of their data submissions. A history of all submissions can be viewed by clicking on the Submission History icon.



Note that there might be multiple errors in a single record. Therefore, adding the total number of errors to the total number of successful records may not equal the total number of records.

American Society for Automation in Pharmacy (ASAP) 2011 Version 4.2 Telecommunications Format for Controlled Substances

Please see www.asapnet.org for the complete implementation guide of the standard. The information in the table below identifies the specific fields that must be included in all ASAP-compliant files submitted to the WI ePDMP.

HEADER SEGMENTS

	Data Element Name	REQUIRED	NOT REQUIRED
TH – Transaction Header Use of this TH Segment is REQUIRED.			
TH01	ASAP Version/Release number	X	
TH02	Transaction Control number	X	
TH03	Transaction Type		X
TH04	Response ID		Х
TH05	Creation date	X	
TH06	Creation time	X	
TH07	File Type	X	
TH08	Routing Number		X
TH09	Segment Terminator Character	X	
IS – Information Source	Use of this IS Segment is REQUIRED.		
IS01	Unique Information Source ID	X	
ISO2	Information Source Entity Name	X	
IS03	Message		X
PHA – Pharmacy Header			
PHA01	National Provider Identifier (NPI)		X
PHA02	NCPDP/NABP Provider ID		X
PHA03	DEA Number	X	
PHA04	Pharmacy or Dispensing Prescriber Name	X	
PHA05	Address Information – 1		X
РНА06	Address Information – 2		X
PHA07	City Address		X
PHA08	State Address		X
PHA09	ZIP Code Address		X
PHA10	Phone Number		X
PHA11	Contact Name		X
PHA12	Chain Site ID		Х

DETAIL SEGMENTS

DETAIL SEGMENTS					
	Data Element Name	REQUIRED	NOT REQUIRED		
PAT – Patient Information	Use of this PAT Segment is REQUIRED.				
PAT01	ID Qualifier of Patient Identifier		X		
PAT02	ID Qualifier		Х		
PAT03	ID of Patient		Х		
PAT04	ID Qualifier of Additional Patient		Х		
	Identifier				
PAT05	Additional Patient ID Qualifier		Χ		
РАТО6	Additional ID		Χ		
РАТ07	Last Name	X			
PAT08	First Name	X			
PAT09	Middle Name	X, If present			
PAT10	Name Prefix	X, If present			
PAT11	Name Suffix	X, If present			
PAT12	Address Information – 1	X			
PAT13	Address Information – 2	X, if present			
PAT14	City Address	Х			
PAT15	State Address	Х			
PAT16	ZIP Code Address	Х			
PAT17	Phone Number		Х		
PAT18	Date of Birth	Х			
PAT19	Gender Code	Х			
РАТ20	Species Code		Х		
PAT21	Patient Location Code		Х		
PAT22	Country of Non-U.S. Resident		Х		
РАТ23	Name of Animal		Х		
DSP – Dispensing Record	Use of this DSP Segment is REQUIRED.				
DSP01	Reporting Status	X			
DSP02	Prescription Number	Х			
DSP03	Date Written	Х			
DSP04	Refills Authorized	Х			
DSP05	Date Filled	Х			
DSP06	Refill Number	Х			
DSP07	Product ID Qualifier	X, must be			
		01 for NDC			
		or 06 for			
		Compound			
DSP08	Product ID	X, must be			
		NDC			
		Number or			
		Compound			

		Code	
DSP09	Quantity Dispensed	Х	
DSP10	Days Supply	Х	
DSP11	Drug Dosage Units Code		Х
DSP12	Transmission Form of Rx Origin		Х
	Code		
DSP13	Partial Fill Indicator		Х
DSP14	Pharmacist National Provider		Х
	Identifier (NPI)		
DSP15	Pharmacist State License Number		X
DSP16	Classification Code for Payment	Х	
	Туре		
DSP17	Date Sold		X
DSP18	RxNorm Product Qualifier		X
DSP19	RxNorm Code		X
DSP20	Electronic Prescription Reference		X
	Number		
DSP21	Electronic Prescription Order		X
	Number		
PRE – Prescriber Information	Use of this PRE Segment is REQUIRED.	1	
PRE01	National Provider Identifier (NPI)		X
PRE02	DEA Number	X	
PRE03	DEA Number Suffix		Х
PRE04	Prescriber State License Number		X
PRE05	Last Name	X	
PRE06	First Name	Х	
PRE07	Middle Name	X, if present	
PRE08	Phone Number		X
CDI – Compound Drug	Use of this CDI Segment is REQUIRED w		· · ·
Information	compound drug that contains one or m		prescription drugs.
CDI01	Compound Drug Ingredient	X	
00103	Sequence Number		
CDI02	Product ID Qualifier	X, must be	
CDIO3	Due de est ID	01 for NDC	
CDI03	Product ID	X, must be NDC	
		Number	
CDI04	Compound Ingredient Quantity	X	
CDI05	Compound Drug Dosage Units		X
CDIO3	Code Code		^
AIR – Additional Information	Use of this AIR Segment is NOT REQUIR	ED.	
Reporting			
AIR01	State Issuing Rx Serial Number		X

AIR02	State Issued Rx Serial Number	X
AIR03	ID Issuing Jurisdiction	X
AIR04	ID Qualifier of Person Dropping Off	X
	or Picking Up Rx	
AIR05	ID of Person Dropping Off or	X
	Picking Up Rx	
AIR06	Relationship of Person Dropping	X
	Off or Picking Up Rx	
AIR07	Last Name of Person Dropping Off	X
	or Picking Up Rx	
AIR08	First Name of Person Dropping Off	X
	or Picking Up Rx	
AIR09	Last Name or Initials of Pharmacist	X
AIR10	First Name of Pharmacist	X
AIR11	Dropping Off/Picking Up Identifier	X
	Qualifier	

SUMMARY SEGMENTS

	Data Element Name	REQUIRED	NOT REQUIRED
TP – Pharmacy Trailer	Use of this TP Segment is REQUIRED.		
TP01 Detail Segment Count X			
TT – Transaction Trailer Use of this TT Segment is REQUIRED .			
TT01	Transaction Control Number	Х	
TT02	Segment Count	Х	